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PARISDate June 6, 2005 Client-Matter 74577-077
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Fax Transmittal

From John C. Stellabotte

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To: Examiner: Firmin Becker

Fax No.: 703.872.9306

Company: United States Patent and Trademark Office - Group Art Unit 3621

Voice No.: 703.305.4458

Message

Re: Inventor : Walter Buist
Serial No. : 10/666,817
Filing Date : September 17, 2003
Title : SYSTEM AND METHOD FOR MESSAGE COMMUNICATION
Att'y Docket : 74577-077

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

FACSIMILE TRANSMISSION CERTIFICATE

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

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Signature

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PTO/SB/96 (09-04)

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Walter BuistApplication No./Patent No.: 10/666,817 Filed/Issue Date: September 17, 2003Entitled: **SYSTEM AND METHOD FOR MESSAGE COMMUNICATION**

UBS AG, a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
 2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Walter Buist To: Soundview Technology Group, Inc.
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☒ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is stated below) is authorized to act on behalf of the assignee.

Gregg I. Goldman
 Signature
Gregg I. Goldman
 Printed or Typed Name
 Director and Senior Counsel, Technology and
 Intellectual Property, UBS AG, Stamford Branch
 Title

March 8, 2005
 Date
203.719.3099
 Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Serial No. 10/666,817

Statement Under 37 CFR 3.73 (b)

B. Supplemental Sheet for additional documents in the chain of title.

4. From: Schwab Capital Markets, L.P. To: UBS Capital Markets L.P.
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REVOCATION OF POWER OF ATTORNEY WITH NEW POWER OF ATTORNEY AND CHANGE OF CORRESPONDENCE ADDRESS	Application Number	10/666,817
	Filing Date	September 17, 2003
	First Named Inventor	Walter Buist
	Art Unit	3621
	Examiner Name	Firmin Backer
	Attorney Docket Number	74577-077

I hereby revoke all previous powers of attorney given in the above-identified application.

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number: 21890

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with Customer Number: 21890

OR


<input type="checkbox"/> Firm or Individual Name			
Address			
City	State	Zip	
Country			
Telephone	Fax		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature			
Name	Gregg I. Goldman, Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		
Date	May 31, 2005	Telephone	203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of _____ forms are submitted.

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